

# Fiscal Year 2005

## Small Business Innovative Research (SBIR) Program

The SBIR program was created by the “*Small Business Innovation Development Act of 1982*”, to ensure that small businesses received a greater share of federal research and development awards. The “*Small Business Innovation Development Enhancement Act of 1992*”, reauthorized the SBIR program.

The objectives of the SBIR program are to:

- Stimulate technological innovations by small businesses,
- Use an increasing number of small businesses to meet their R&D needs,
- Increase private sector commercialization of innovations derived from \$&D awards to small businesses, and
- Foster and encourage the participation of small businesses, small disadvantaged businesses, women-owned small businesses and small business located in HubZone areas.

For continuously updated information concerning these two programs, you should visit the Small Business Administration website at: <http://www.sba.gov/SBIR/indexsbir-sttr.html>. To obtain an electronic copy of an SBIR or STTR solicitation, visit NIH’s website at:

<http://grants1.nih.gov/grants/funding/sbir.htm>. Or, to obtain a hard copy, contact the following:

### PHS SBIR/STTR Solicitation Office

13687 Baltimore Avenue

Laurel, MD 20707-5096

Telephone: (301) 206-9385

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Internet Address: [a2y@cu.nih.gov](mailto:a2y@cu.nih.gov)

For general information or questions concerning the National Institutes of Health SBIR/STTR programs, contact:

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For general information or questions concerning the Administration for Children and Families' (ACF) and the Centers for Medicare & Medicaid Services' (CMS) SBIR program, contact:

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**Mr. William Saunders, CMS**  
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## Summary of the SBIR Program

The SBIR program continues to show a significant increase in the number of proposals received and the dollar value of awarded. Since the implementation of the program, HHS has received approximately 67,739 Phase I proposals and funded 15,395, with awards exceeding \$1.5 billion. Under Phase II, HHS has received approximately 13,194 proposals and funded 5,186 with awards exceeding \$3.6 billion.

During fiscal year 2005, HHS released two SBIR solicitations, several thousand copies were downloaded from the SBIR/STTR website to small businesses resulting in 5,463 Phase I proposals received and 988 funded, totaling \$165 million. Under the Phase II program, 1,540 proposals were received with 391 funded, totaling over \$408.9 million.

The SBIR program also includes awards made to small disadvantaged businesses, women-owned small businesses and the HUBZone small business concerns. Following is a chart showing awards made under these programs.

FY 2005 - SBIR Program					
	Phase One			Phase Two	
	No. of Awards	Dollar Amount		No. of Awards	Dollar Amount
		(In Thousands)			(In Thousands)
WOSB	79	\$13,554		92	\$38,923
SDB	42	6,423		14	14,344
HZ	0	0		0	0

WOSB - Women-Owned Small Businesses  
SDB - Small Disadvantaged Businesses  
HZ - HubZone Small Businesses

## Small Business Technology Transfer Research (STTR) Program

### General Information

There are **two major differences** between the STTR and SBIR programs. They are:

1. The STTR program **requires** that a small business concern “team” with a research institution to collaborate on a project that has potential for commercialization. The collaboration is not required under an SBIR project.
2. The SBIR program **requires** the Principal Investigator to have their primary employment with the small business concern at the time of award through completion of the project.

The “*Small Business Research and Development Enhancement Act of 1992*”, requires HHS and certain other Federal agencies to reserve a specified amount of their extramural research and development (R&D) budgets for the STTR program. This legislation is intended to:

- Stimulate and foster scientific and technological innovation through cooperative research and development carried out between small business concerns and research institutions;
- Foster technology transfer between small business concerns and research institutions;
- Increase private sector commercialization of innovations derived from Federal research and development; and
- Foster and encourage participation of socially and economically disadvantaged small business concerns and women-owned small business concerns in technological innovation.

In FY 2005, HHS released one STTR solicitation. The solicitation was made available on-demand electronically for small businesses. HHS’ total extramural R&D budget for FY 2005 was \$22.8 billion, with an STTR budget of \$68.5 million.

Total STTR Obligations for Fiscal Year 2005	
Total Agency Obligations Reported	\$73,103,815
Total Amount to Small Businesses	42,274,140
Total Amount to Non-Profit Research Organizations	30,585,886
Net Dollar Amount of Other	243,789
(To the Dollar)	

Category	STTR Phase I Awards	STTR Phase II Awards
Total Dollars Obligated	\$33,662,192	\$41,766,637
Small Business Awards	18,933,341	23,340,799
Small Disadvantaged Business Awards	207,078	820,375
HUBZone small Business	9,361,250	6,464,165
Research Institutions	14,475,615	16,110,271
(To the Dollar)		

**Updated:** June 16, 2006